

CALIFORNIA EMERGENCY MANAGEMENT AGENCY (Cal EMA)

PROGRAM: JAGR/OTP

PERFORMANCE ASSESSMENT / SITE VISIT REPORT

1. **GRANT AWARD NUMBER:** ZO09010410 **DATE OF SITE VISIT:** MAY 18, 2010
2. **GRANT PERIOD:** 10/01/09 TO 03/31/11
3. **RECIPIENT/IMPLEMENTING AGENCY:**
SAN MATEO COUNTY/ DEPARTMENT OF HEALTH
4. **PROJECT DIRECTOR:**
STEPHEN KAPLAN

PERSONS INTERVIEWED DURING SITE VISIT:

<u>NAME</u>	<u>TITLE</u>	<u>AGENCY</u>
<u>STEPHEN KAPLAN</u>	<u>PROJECT DIRECTOR</u>	<u>ALCOHOL AND OTH DRUG SVC</u>
<u>PAULA NANNIZI</u>	<u>ROUTINE PROG</u>	<u>SAME</u>
<u>CLAIRA BOYDEN</u>	<u>MGR TO ROUTIN PROG</u>	<u>SAME</u>
<u>ROBERT STEIN</u>	<u>ROUTINE FISCAL</u>	<u>SAME</u>
<u> </u>	<u> </u>	<u> </u>
<u> </u>	<u> </u>	<u> </u>

Signature of Program Specialist

Date

Signature of Section Chief

Date

Signature of Project Representative

Date

PERFORMANCE ASSESSMENT/SITE VISIT REPORT

SECTION I – ADMINISTRATIVE and PROGRAMMATIC REVIEW

1. OPERATIONAL DOCUMENTS

YES NO N/A

Review hard copy/verify the ability to access on line:

- The Cal EMA Recipient Handbook (R.H.)
- The Approved Grant Award Agreement
- The RFA/RFP (supersedes the requirement of the R.H.)
- The Program Guidelines (supersedes the requirement of the R.H.)
- Is the project familiar with Office of Management and Budget, OMB Circulars which govern your organization? Circulars may be found at www.whitehouse.gov/omb/circulars.

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Comments:

2. FIDELTY BOND CERTIFICATE - COMMUNITY BASED ORGANIZATIONS (CBO) & AMERICAN INDIAN ORGANIZATIONS ONLY

- Obtain copy of required Fidelity Bond Certificate? [R.H. Section 2161] Does not apply to state, city, or county units of government.
- Does the certificate show:
 - Bonding company's name
 - Bond number
 - Description of coverage
 - Amount of coverage (50% of allocation)
 - Bond period
 - Grant award number
 - Form A, Employee Dishonesty
 - Form B, Forgery Coverage
 - Is the State of California, California Emergency Management Agency named on the bond as the beneficiary?

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Comments:

3. ENVIRONMENTAL IMPACT – CEQA COMPLIANCE (R.H. Section 2153)

- Does the project have its CEQA documentation on file?(Ask to view)
 - Certified Exempt
 - Recipient has adopted or certified an environmental document which complies with the requirements of CEQA.

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Comments:

PERFORMANCE ASSESSMENT/SITE VISIT REPORT

SECTION I – ADMINISTRATIVE and PROGRAMMATIC REVIEW (Continued)

4. PROOF OF AUTHORITY (R.H. Section 1350)

YES NO N/A

- Does the project have a written authorization/resolution on file as required by the Grant Award Agreement? (Ask for copy)

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Comments:

COPY DATED MARCH 23, 2010-NO CHANGES.

5. ORGANIZATIONAL CHART

- Review the organizational chart. Are all budgeted positions identified?

☒ ☐ ☐

Comments:

6. Cal EMA MODIFICATION (Cal EMA 2-223)

- Review the purpose/preparation of Grant Award Modification Request (Cal EMA 2-223). [R. H. Section 7500] (*Instruct project staff on the procedure to obtain the most recent forms from Cal EMA's website.*)

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A modification is needed for the following:

- Budget changes
- Change in key personnel
- Adding/changing additional signers
- Change goals/objectives, or activities
- Address change
- Other

Comments:

7. PERSONNEL POLICIES

- Does the project staff have access to written personnel policies as required? [R. H. Section 2130]
- Do the personnel policies include:
 - Work hours
 - Compensation rates including overtime and benefits
 - Vacation, sick, and other leave allowances
 - Hiring and promotional policies

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PERFORMANCE ASSESSMENT/SITE VISIT REPORT

SECTION I – ADMINISTRATIVE and PROGRAMMATIC REVIEW (Continued)

- Do the personnel files include:
 - Staff note: Complete a sample review of a personnel file ☒ ☐ ☐
 - Job application ☒ ☐ ☐
 - Resume ☒ ☐ ☐
 - Performance evaluations ☒ ☐ ☐
 - Salary rates ☒ ☐ ☐
 - Benefits ☒ ☐ ☐
 - Current job duties/descriptions ☒ ☐ ☐
 - Other terms of employment ☒ ☐ ☐
- Does the project have a current Drug Free Workplace policy statement on file signed by the employee? [R. H. Section 2152] ☒ ☐ ☐
- Did the Board approve the agency's existing personnel policy? ☒ ☐ ☐

Comments:

8. FUNCTIONAL TIMESHEETS

- Does the project use functional timesheets for each grant funded position less than 1 FTE? OR Time Study Allocation plan updated within the last 2 years? [R. H. Section 11331] ☒ ☐ ☐
- Are timesheets (paid staff & volunteer) signed by staff & approved by supervisor? (Review timesheets to ensure signatures of staff and supervisor.) ☒ ☐ ☐

Comments:

9. DUTIES OF FINANCIAL OFFICER AND BOOKKEEPER

- Are the duties of the financial officer and the bookkeeper separate to ensure no one person has complete authority over a financial transaction? ☒ ☐ ☐
 - Name of individual who approves purchases.
BOB STEIN
 - Name of individual who writes checks.
COUNTY CONTROLLER
 - Name of individual(s) who signs checks.
COUNTY CONTROLLER

Comments:

PERFORMANCE ASSESSMENT/SITE VISIT REPORT

SECTION I – ADMINISTRATIVE and PROGRAMMATIC REVIEW (Continued)

10. SOURCE DOCUMENTATION-Fiscal [R. H. Section 11000]

YES NO N/A

- Does the project maintain a record-keeping system which accurately supports costs claimed on Report of Expenditure and Request for Funds (Cal EMA Form 2-201)? ☒ ☐ ☐
- Does the project maintain an accurate inventory log of equipment purchased with grant funds? ☐ ☐ ☒

Comments:

11. PROJECT EXPENDITURES

- Is the project's expenditure rate commensurate with the elapsed period of the grant? ☒ ☐ ☐
- Are the project's expenditures being made in accordance with the terms of the Grant Award Agreement? ☒ ☐ ☐
- Does the project need to submit a Grant Award Modification Request (Cal EMA Form 2-223)? ☐ ☒ ☐
- Is the project up-to-date with the submission of Cal EMA Form 2-201? ☒ ☐ ☐

Comments:

12. MATCH REQUIREMENTS

- Does the project have a match requirement? ☐ ☐ ☒
- Is the project meeting the match requirement? ☐ ☐ ☒
- Review the supporting documentation to substantiate cash or in-kind match. ☐ ☐ ☒

Comments:

13. EEO POLICY

- Go over EEO checklist. (Separate document) ☒ ☐ ☐

Comments:

PERFORMANCE ASSESSMENT/SITE VISIT REPORT

SECTION I – ADMINISTRATIVE and PROGRAMMATIC REVIEW (Continued)

GENERAL

YES NO N/A

14. PROGRAM GOALS AND OBJECTIVES

- Review the goals and objectives of the program and the programmatic requirements of the Grant Award Agreement. Is the project meeting the program's goals and objectives?
- Does the project need to submit Cal EMA Form 2-223 to modify grant objectives?

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Comments:

15. PROGRESS REPORT

- Discuss and review the programmatic Progress Report requirements.

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Comments:

16. SOURCE DOCUMENTATION-Programmatic

- Is the project maintaining a record keeping and data collection process that which accurately supports the project's reported data on the Progress Report form?
- Review the project's file system and data collection process.

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Comments:

DATA GATHERED FROM COURT AND PROVIDERS SUBMITTING DATA USING COUNTY WIDE DATA.

17. OPERATIONAL AGREEMENTS

- Does the project have current Operational Agreements as required by the Grant Award Agreement?

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Comments:

COPY IN FILE.

18. PROJECT STAFF DUTIES

- Interview project staff and discuss their duties and the relationship to the grant. Are employees performing duties as stated in the Grant Award Agreement?

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Comments:

COPY OF JOB DESCRIPTION FOR PROBATION ATTACHED.

ADDENDUM TO SITE VISIT REPORT

Met with four project staff representing San Mateo's Department of Health.

I conducted an administrative review on all documents which did not pose a challenge to the project. A review of the project's Program Summary remains the same.

Project staff seem very efficient in understanding CalEMA and JAGR/OTP grant guidelines, thus, not a lot of technical assistance needed. A question did arise from the Routine Fiscal responsibility person in regards to the procedure in modifying budget category totals or budget line items.

Source documentation is maintained by several data bases that store all information relative to data collection, progress reporting and financial reporting. This information is retrieved and reported for each required jobs data report and also will be available for their JAG PMT reporting that the grant mandates. The staff indicated that the email reminders for the OMB Jobs Data Collection were very helpful, however sending reminders to Routine Programmatic responsibility person is sufficient.

Routine Programmatic responsibility person kindly took me on a tour to see a couple of treatment facilities. The first is known as the Women's Enrichment Center which is an intensive day-treatment program that is uniquely designed to address the substance abuse and mental health issues of women. I was introduced to two counselors at the time. One of the Counselors took the time to show me around the facility and described what services are offered. The other facility is known as First Chance Programs. This program offers a First Chance Sobering Station and a First Chance Outpatient Services. I was introduced to two gentlemen who operate the facility who was able to give me a presentation of both programs. The First Chance Sobering Station operates 24 hours a day, 7 days a week, 365 days per year and it employs professionals skilled in both substance abuse counseling and case management. Participants are provided with bed space and a safe place to sober up, clean clothing, referrals and counseling support and are required to stay at the facility until they are able to get sober. The First Chance Outpatient Services is a treatment program for men and women with substance abuse and co-occurring mental health disorders. It primarily serves individuals referred through county and federal probation and parole.

The staff, in particular the Routine Programmatic responsibility person made my site visit interesting and worth while due to the tour that I was able to go to.

San Mateo's Department of Health grant is in compliance with the Offender Treatment Program, the RFA, the program guidelines, and the Recipient Handbook.

No findings to report.